

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED
CENTRAL FAX CENTERFirst Named
Inventor : Jesper Kiehn et al.

Group Art Unit: 2136

MAR 22 2005

Serial No. : 10/815,052

Examiner: B. S. Hoffman

Filed : March 31, 2004

For : SYSTEM AND METHOD FOR
PROVIDING REA MODEL BASED
SECURITY

Docket No. : M61.12-0615

CERTIFICATION OF TELEFACSIMILE TRANSMISSION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

(703) 872-9306

Sir:

I certify that the following papers are being telefacsimile transmitted to the U.S. Patent and Trademark Office on the date shown below:

1. Supplemental Information Disclosure Statement.
2. International Search Report.

WESTMAN, CHAMPLIN & KELLY, P.A.

Date: March 22, 2005By: John D. Veldhuis

John D. Veldhuis-Kroeze, Reg. No. 38,354
Suite 1600 - International Centre
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Phone:(612)334-3222 Fax:(612)334-3312

JVK/jme

8 PAGES - INCLUDING COVER PAGE

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CENTRAL FAX CENTER

MAR 22 2005

| | |
|--|-------------------------|
| First Named Inventor : Jesper Kiehn et al. | Group Art Unit: 2136 |
| Serial No. : 10/815,052 | Examiner: B. S. Hoffman |
| Filed : March 31, 2004 | |
| For : SYSTEM AND METHOD FOR PROVIDING REA MODEL BASED SECURITY | |
| Docket No. : M61.12-0615 | |

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

(703) 872-9306

Sir:

The patents or publications listed on the enclosed PTO Form-1449 are submitted pursuant to 37 C.F.R. §1.97. Copies of the patents or publications cited are enclosed, except as waived by the Official Gazette notice of August 5, 2003 regarding copies of US Patents and Publications.

Submitted herewith is a copy of an Official Search Report of the PCT Office in counterpart foreign application No. PCT/US04/23829 filed July 23, 2004.

TIME OF FILING

The information disclosure statement is being filed:

1. ☐ with the application or within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. In accordance with 37 C.F.R. § 1.97(b), no statement or fee is required.
2. ☒ after the time period specified in paragraph 1 above, but before the mailing date of a final action under 37 C.F.R. §1.113 or notice of allowance under 37 C.F.R. §1.311. Therefore, in

-2-

accordance with 37 C.F.R. § 1.97(c), submitted herewith is:

(check either A or B below)

- A. X a statement as specified in 37 C.F.R. § 1.97(e).
B. ___ the fee set forth in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c).

3. ___ after the mailing date of either a final action under 37 C.F.R. § 1.113 or a notice of allowance under 37 C.F.R. § 1.311, whichever occurs first, but before payment of the issue fee. Therefore, Applicant petitions for consideration and submits herewith:

- A. a statement as specified in 37 C.F.R. § 1.97(e);
B. the petition fee set forth in 37 C.F.R. § 1.17(p).

STATEMENT

The person(s) signing below certify

- X that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. § 1.97(e)(1).

OR

- ___ that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement. 37 C.F.R. § 1.97(e)(2).

-3-

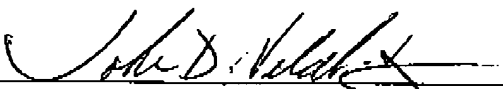
METHOD OF PAYMENT

- ☒ No fee is required.
☐ Attached is a check in the amount of \$__.

The Director is authorized to charge any fee deficiency required by this paper or credit any overpayment to Deposit Account No. 23-1123.

Respectfully submitted,

WESTMAN, CHAMPLIN & KELLY, P.A.

By: 
John D. Veldhuis-Kroeze, Reg. No. 38,354
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Minneapolis, Minnesota 55402-3319
Phone: (612) 334-3222
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JVK/jme

Sheet 1 of 1

| | | |
|---|--|------------|
| FORM PTO-1449 | Atty. Docket No.: M61.12-0615 | Appl. No.: |
| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT | First Named Inventor: Jesper Kiehn et al. | |
| | Filing Date Herewith | Group Art: |

U.S. PATENT DOCUMENTS

| Examiner Initial | Document No. | Date | Name | Class | Sub Class | Filing Date If Appropriate |
|---------------------|--------------|---------|----------------|-------|-----------|-------------------------------|
| AA | 2004/0205355 | 10/2004 | Boozer et al. | 713 | 200 | |
| AB | 6,173,404 | 1/2001 | Colburn et al. | 713 | 200 | |
| AC | | | | | | |
| AD | | | | | | |
| AE | | | | | | |
| AF | | | | | | |
| AG | | | | | | |
| AH | | | | | | |
| AI | | | | | | |
| AJ | | | | | | |
| AK | | | | | | |

FOREIGN PATENT DOCUMENTS

| | Document No. | Date | Country | Class | Sub Class | Translation Yes No |
|----|--------------|------|---------|-------|-----------|-----------------------|
| AL | | | | | | |
| AM | | | | | | |
| AN | | | | | | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

| | |
|----|--|
| AO | |
| AP | |

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

From the INTERNATIONAL SEARCHING AUTHORITY

To:
JOHN VELDHUIS-KROEZE
WESTMAN, CHAMPLIN & KELLY, P.A.
SUITE 1600 - INTERNATIONAL CENTRE
900 SECOND AVENUE SOUTH
MINNEAPOLIS, MN 55402-3319

PCT

NOTIFICATION OF TRANSMITTAL OF
THE INTERNATIONAL SEARCH REPORT AND
THE WRITTEN OPINION OF THE INTERNATIONAL
SEARCHING AUTHORITY, OR THE DECLARATION

(PCT Rule 44.1)

| | |
|--|---|
| Date of mailing (day/month/year) 04 MAR 2005 | |
| Applicant's or agent's file reference M61.13-0833 | FOR FURTHER ACTION See paragraphs 1 and 4 below |
| International application No. PCT/US04/23829 | International filing date (day/month/year) 23 July 2004 (23.07.2004) |
| Applicant MICROSOFT CORPORATION | |

DOCKETED 5-13-05
RESPONSE DUE 4-3-05
CALENDARED 6-4-05
CHECKED BY ATTY 5-4-05

IDS
USA
PP
OUT 19
10-31-05-2-2-8
W0

1. ☒ The applicant is hereby notified that the international search report and the written opinion of the International Searching Authority have been established and are transmitted herewith.
- Filing of amendments and statement under Article 19:**
The applicant is entitled, if he so wishes, to amend the claims of the international application (see Rule 46):
- When?** The time limit for filing such amendments is normally two months from the date of transmittal of the international search report.
- Where?** Directly to the International Bureau of WIPO, 34 chemin des Colombettes
1211 Geneva 20, Switzerland, Facsimile No.: +41 22 740 14 33
- For more detailed instructions, see the notes on the accompanying sheet.
2. ☐ The applicant is hereby notified that no international search report will be established and that the declaration under Article 17(2)(a) to that effect and the written opinion of the International Searching Authority are transmitted herewith.
3. ☐ With regard to the protest against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:
- ☐ the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.
- ☐ no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

4. Reminders

Shortly after the expiration of 18 months from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90bis.1 and 90bis.3, respectively, before the completion of the technical preparations for international publication.

The applicant may submit comments on an informal basis on the written opinion of the International Searching Authority to the International Bureau. The International Bureau will send a copy of such comments to all designated Offices unless an international preliminary examination report has been or is to be established. These comments would also be made available to the public but not before the expiration of 30 months from the priority date.

Within 19 months from the priority date, but only in respect of some designated Offices, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until 30 months from the priority date (in some Offices even later); otherwise, the applicant must, within 20 months from the priority date, perform the prescribed acts for entry into the national phase before those designated Offices.

In respect of other designated Offices, the time limit of 30 months (or later) will apply even if no demand is filed within 19 months.

See the Annex to Form PCT/IB/301 and, for details about the applicable time limits, Office by Office, see the PCT Applicant's Guide, Volume II, National Chapters and the WIPO Internet site.

| | |
|--|---|
| Name and mailing address of the ISA/ US Mail Stop PCT, Attn: ISA/US Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450 Facsimile No. (703) 305-3230 | Authorized officer <i>Per Michael L. Egan</i> Ayaz Sheikh Telephone No. 571-272-2100 |
|--|---|

Form PCT/ISA/220 (January 2004)

(See notes on accompanying sheet)

PCT

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

| | | |
|--|---|---|
| Applicant's or agent's file reference M61.13-0833 | FOR FURTHER ACTION see Form PCT/ISA/220 as well as, where applicable, item 5 below. | |
| International application No. PCT/US04/23829 | International filing date (day/month/year) 23 July 2004 (23.07.2004) | (Earliest) Priority Date (day/month/year) 31 March 2004 (31.03.2004) |
| Applicant MICROSOFT CORPORATION | | |

This international search report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This international search report consists of a total of 2 sheets.



It is also accompanied by a copy of each prior art document cited in this report.

1. Basis of the Report

- a. With regard to the language, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.



The international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

- b. ☐ With regard to any nucleotide and/or amino acid sequence disclosed in the international application, see Box No. I.

2. ☐ Certain claims were found unsearchable (See Box No. II)

3. ☐ Unity of invention is lacking (See Box No. III)

4. With regard to the title,



the text is approved as submitted by the applicant.



the text has been established by this Authority to read as follows:

5. With regard to the abstract,



the text is approved as submitted by the applicant.



the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box No. IV. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. With regard to the drawings,

- a. the figure of the drawings to be published with the abstract is Figure No. _____



as suggested by the applicant.



as selected by this Authority, because the applicant failed to suggest a figure.



as selected by this Authority, because this figure better characterizes the invention.



none of the figures is to be published with the abstract

Form PCT/ISA/210 (first sheet) (January 2004)

INTERNATIONAL SEARCH REPORT

International application No. .

PCT/US04/23829

A. CLASSIFICATION OF SUBJECT MATTER

IPC(7) : H04L 9/00

US CL : 713/201

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 713/201

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)
ACM, IEEE

C. DOCUMENTS CONSIDERED TO BE RELEVANT

| Category * | Citation of document, with indication, where appropriate, of the relevant passages | Relevant to claim No. |
|------------|---|-----------------------|
| X,T | US 2004/0205355 A1 (BOOZER et al) 14 October 2004 (14.10.2004), page 1, paragraph 0016 and 0018, page 2, paragraph 0029, page 3, paragraph 0033, page 6, paragraph 0066 and 0076, figure 2 and 19. | 1, 20 |
| Y,T | | 2-19, 21-25 |
| X | US 6,173,404 B1 (COLBURN et al) 09 January 2001 (09.01.2001), column 1, lines 34-63, column 5, lines 14-31, column 5, line 65 through column 6, line 13, column 6, lines 42-52, column 7, lines 26-61, column 8, lines 43-59, and figure 5, reference number 116. | 1-5, 11-25 |
| Y | | 6-10 |

☐ Further documents are listed in the continuation of Box C.☐ See patent family annex.

Special categories of cited documents:

- * "A" document defining the general state of the art which is not considered to be of particular relevance
- * "B" earlier application or patent published on or after the international filing date
- * "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- * "O" document referring to an oral disclosure, use, exhibition or other means
- * "P" document published prior to the international filing date but later than the priority date claimed

- * "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- * "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- * "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
- * "Z" document member of the same patent family

Date of the actual completion of the international search

19 January 2005 (19.01.2005)

Date of mailing of the international search report

04 MAR 2005

Name and mailing address of the ISA/US

Mail Stop PCT, Attn: ISA/US
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Facsimile No. (703) 305-3230

Authorized officer

Ayaz Sheikh

Telephone No. 571-272-2100

Form PCT/ISA/210 (second sheet) (January 2004)